Chapter

5

Online Reporting

Section A: Reporting for NMFS 4 (d) authorizations and Oregon Scientific Take Permits

National Marine Fisheries Service (NMFS) 4(d) authorizations and Oregon Scientific Take Permits are issued on a calendar year basis and require reports be filed within 30 days of the expiration date of the permit or authorization. Reports must be filed online through APPS.

Completing an Annual Report

To begin a report, log on to your portfolio and click on the link for the active or expired permit for which a report is required. The "Project Overview" screen will appear with status summaries for the application, permit or authorization, modification requests (if applicable) and reports. Scroll down to the "Report Required" section and click the "Start Report" link to begin a new report.

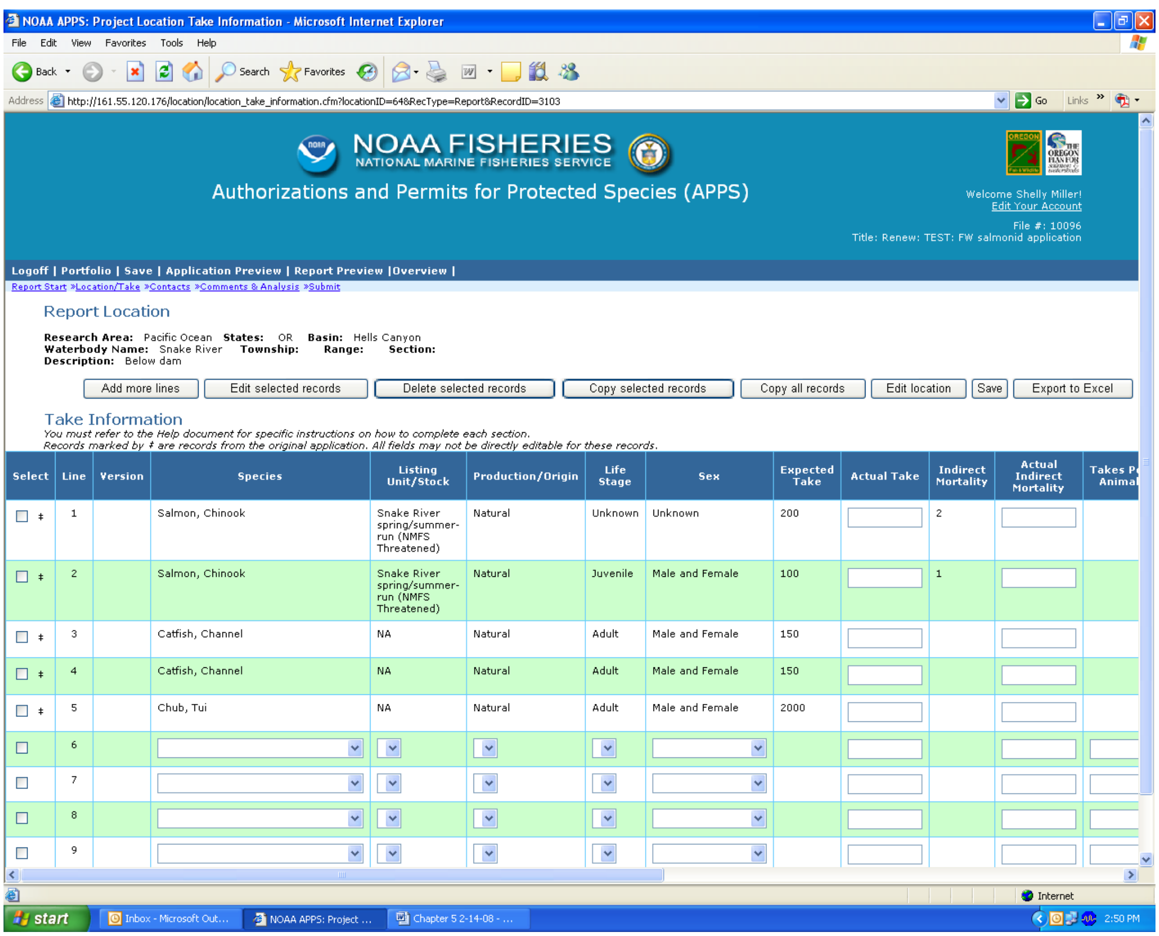
A report start page will appear that describes some basics about the reporting process. A report template is produced based on information provided in your approved application. You need to complete the take table by reporting your actual take (capture/handle/release, marking, tagging, etc.) and indirect or incidental mortality. You must also answer a series of questions about the work, the results, and subsequent analyses. After reviewing the information on the start page, click on the "Next>" link to proceed.

As always, save frequently while completing your report. A **Save** button is located on the take page and a "Save" link is located on the top of most pages. You can save a draft of your report and return to it at a later time through the "Report Required" section of the "Project Overview" screen. Click on the link to the report (e.g., Report 1) to open the report in the "Report Preview" mode then either click the "Start Page" link near the top right of the page to progress through the report, or click on the "Edit" link adjacent to the section in which you'd like to begin.

Report Locations and Take Information Section

The first screen you will see is the "Report Locations and Take Information" page. This page contains a summary of the locations for which take has been approved. To add take information for a location, select the radio button next to the location for which you wish to add the number of organisms handled or observed. Then click the **Edit/Add Take** button. This will take you to the take table for this approved application. You need to fill in the "actual take" and "actual indirect mortality" fields.

> **Note**: Be sure to fill in the take numbers for the appropriate take action and capture method for each species/listing unit/life stage combination.



In instances where the expected take was exceeded, please provide an explanation in the answers to the questions posed in the report summary section. You should have contacted the appropriate permitting agency within 2 days of the date your take numbers were exceeded. For species with intentional or direct mortality (e.g., fish sacrificed for tissue analysis), record the number of species sacrificed under "actual take." The "actual indirect mortality" number will be zero.

You may add species to the table. When adding species, the "expected take" will be displayed as zero. Only the actual take and indirect mortality will be added. You should have contacted the appropriate permitting agency when the unexpected species was encountered. Please provide an explanation or description of the circumstances under which the unexpected species were collected in the report summary section.

You cannot edit or delete the existing, approved records in the report template. In other words, you cannot change the capture methods, take actions, or other aspects of a take record during the reporting process. While your permit is active, changes can be made through the Request Modification process described in **Chapter 3**. To report changes not previously requested, you can add a new record as described in the above paragraph.

Upon completing the take table, click the "Next>" link. You will be taken back to the "Report Locations and Take" page. If you have more than one location for which you need to report take, select the radio button adjacent to the next location and proceed as above.

When you have finished entering your actual take for all of the locations, click the "Next>" link to proceed to the next section. If you would like to review or save a copy of your take table in spreadsheet format, click **Export to Excel** .

> **Note**: Any edits made within the Excel spreadsheet will not be saved in the report take table.

Report Comments and Analysis Section

This section includes several questions that provide you the opportunity to explain the success of the field season, any problems that occurred, and any preliminary analyses. As throughout the application and report, an asterisk denotes a required field. For your report to be accepted during the submittal process, you must enter a response to all of the required fields.

The first section, "Describe any problems and/or any unforeseen effects and any steps taken (or proposed) to resolve such problems," is intended as the place for you to describe (if applicable) any problems with your sampling or tagging methods, equipment, sampling locations, etc.

The second section, "Describe what measures were taken to minimize the permitted activities' effects on animals and the effectiveness of these measures," should be used to describe precautions taken to reduce mortality and injury to all species. This includes following the NMFS electrofishing guidelines, checking traps frequently, processing listed fish first while holding other fish in aerated buckets, etc. You must also indicate if these methods were effective at minimizing injury or mortality.

The third section, “If animals were unintentionally injured or killed, describe the circumstances. Describe how they were disposed of if it wasn't in the way described in the authorization/permit,” is the section in which to detail any observed mortalities particularly as related to listed or sensitive species. If mortality rates were exceeded, you must provide a possible explanation and any changes that were made to try to prevent or reduce future mortalities.

The fourth question prompts you to “Comment on anything that occurred that was not in your authorization/permit. For example, did you take species not in your authorization/permit or go over your allocation?” If applicable, you should describe the circumstances under which approved take numbers were exceeded or unexpected fish species were collected. If methods not listed in your permit/authorization were used, describe them here with an explanation for the change. Any change like those described above should be approved by the appropriate permitting staff prior to implementation.

The next question, “Summarize any preliminary findings. Did you accomplish your project goals?,” is where you should indicate the results of any initial analyses or observations. You should also discuss whether the goals or purpose of the research were reached.

The final question requests that you “List titles of reports, publications, etc. resulting from this reporting period. Attach copies of any final documents. If these documents are not yet available, indicate when you anticipate that they will be completed and submitted. When reports and publications are available, send to the appropriate permitting agency and include the permit number in the subject line.” We would like to have copies or access to reports, peer-reviewed publications, etc. that result from your research. If applicable, this can include web site addresses for general research program information and gray literature. Use the “Click here to attach a file” link to attach additional analysis or report information.

The last item in the report provides space for you to add any other pertinent information not covered by the questions above. A response is not required.

Submitting a Report

When you have completed all required sections of the report, click either the “Next>” link or the “Submit” link near the top of the report. Either link will take you to the “Submit Report” page. Here you have the opportunity to review your report for completeness and accuracy by using the “Click here to preview information” link. You can also print your report or export it as a PDF file.

If you decide to preview your report prior to submission, your report will be displayed in the report preview mode. You can expand individual sections of the report by clicking the "+" next to the title of the section. If you find items that need to be edited, click "edit section" on the right side of the page. When done, you can get back to the "Submit Report" page using the "Next>" link or the "Submit" link.

Use the **Click Here to Submit Report** button to complete the submission process. The application will run a series of error checks on your report and indicate with an error message window or yellow highlighted error message if sections need to be edited or are incomplete.

When your report is successfully submitted, a "Report Submitted" page will be displayed that contains a link to the final report. An email notice of report submission will be sent to the Principal Investigator and Primary Contact. The email will also contain a link to the report.

Section B: Reporting for NMFS Section 10(a)(1)(A) Research Permits for Pacific Marine and Anadromous Fish

NMFS section 10(a)(1)(A) research permits are issued throughout the calendar year and are typically issued for up to five years. However, the annual authorization of the permit is contingent upon submission of an adequate annual report to NMFS. For section 10(a)(1)(A) permits issued by the NMFS Northwest Region (Oregon, Washington and Idaho), reports are to be submitted to NMFS annually no later than January 31. For section 10(a)(1)(A) permits issued by the NMFS Southwest Region (California), reports are to be submitted to NMFS annually by the due date identified within the permit and on the Overview page in APPS. Reports must be filed online through APPS.

To begin a report, log on to your portfolio and click on the link for the active or expired permit for which a report is required. The "Project Overview" screen will appear with status summaries for the application, permit or authorization, modification requests (if applicable) and reports. Scroll down to the "Report Required" section and click the "Start Report" link to begin a new:

- Incident Report
- Annual Report
- Final Report

Completing an Incident Report

In addition to contacting the appropriate permit office, you can submit an incident report if your action results in mortality, injury, or unauthorized take. The incident report is a place for you to record details about the incident. Submitting an incident report **does not** replace the permit requirement that you must contact the permit office soon after the incident occurs.

Click the "Create an incident report" button to begin your report and fill out the following fields:

1) ***Type of Incident (check all that apply).***

You must check the type(s) of incident you are reporting. You have the following list of options:

- Authorized take exceeded
- Mortality or serious injury
- Unauthorized species or age class taken
- Other

2) ***Date(s) of Incident***

Enter the Date(s) of the Incident in the date fields.

3) ***Describe the incident. (64,000 characters max).***

Include details such as:

- what happened
- where it happened
- chronology of events
- relevant observations prior to, during and after the event
- final disposition of injured or dead animals
- a discussion of what steps, if any, were or will be taken to prevent the event from reoccurring.

4) ***Attach a File (Optional)***

If you have additional information (e.g. necropsy reports), please attach them here.

As always, save frequently while completing your report. A "Save" link is located on the top of the page. You can save a draft of your report and return to it at a later time through the "Report Required" section of the "Project Overview" screen.

See Submitting a Report for the final steps.

Completing an Annual Report

To begin a report, log on to your portfolio and click on the link for the active or expired permit for which a report is required. The "Project Overview" screen will appear with status summaries for the application, permit or authorization, modification requests (if applicable) and reports. Scroll down to the "Report Required" section and click the "Start Report" link to begin a new report.

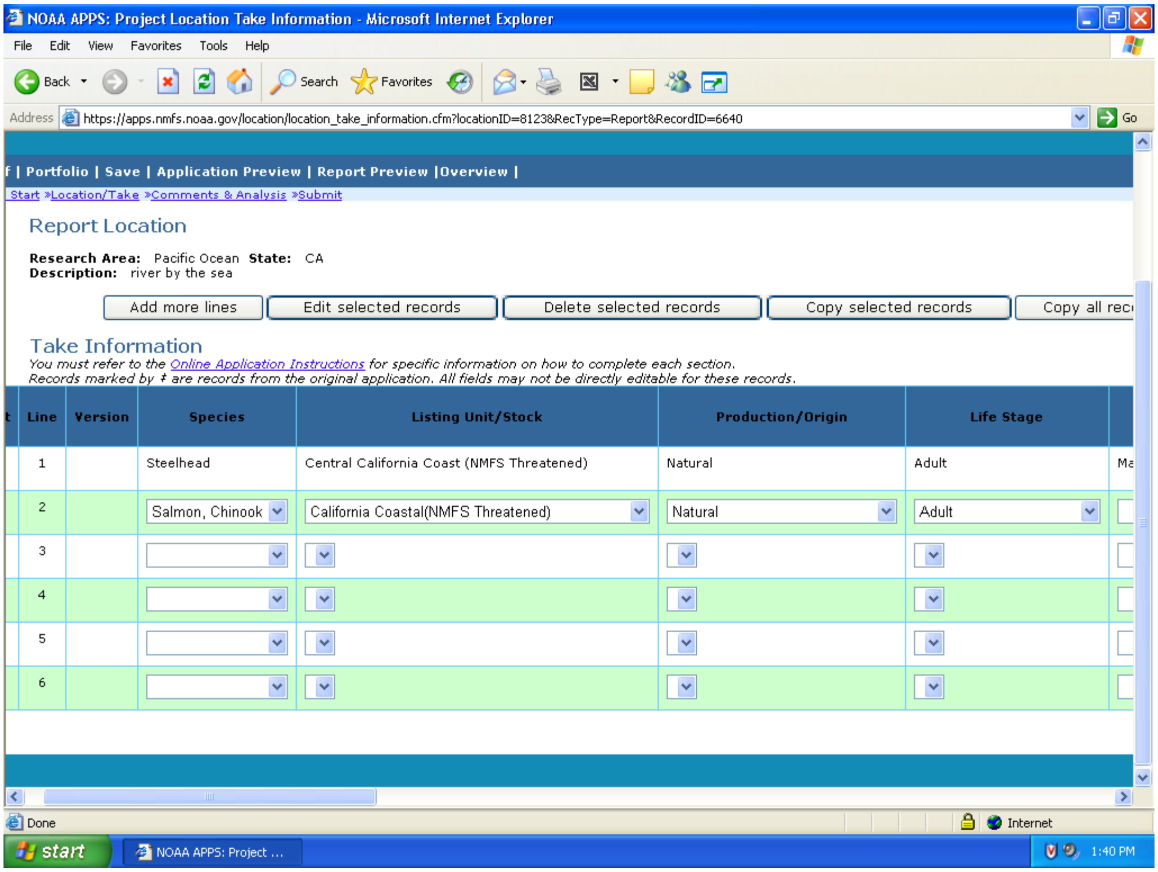
A report start page will appear that describes some basics about the reporting process. A report template is produced based on information provided in your approved application. You need to complete the take table by reporting your actual take (capture/handle/release, marking, tagging, etc.) and indirect or incidental mortality. You must also answer a series of questions about the work, the results, and subsequent analyses. After reviewing the information on the start page, click on the “Next>” link to proceed.

As always, save frequently while completing your report. A **Save** button is located on the take page and a “Save” link is located on the top of most pages. You can save a draft of your report and return to it at a later time through the “Report Required” section of the “Project Overview” screen. Click on the link to the report (e.g., Report 1) to open the report in the “Report Preview” mode then either click the “Start Page” link near the top right of the page to progress through the report, or click on the “Edit” link adjacent to the section in which you’d like to begin.

Report Locations and Take Information Section

The first screen you will see is the “Report Locations and Take Information” page. This page contains a summary of the locations for which take has been approved. To add take information for a location, select the radio button next to the location for which you wish to add the number of organisms handled or observed. Then click the **Edit/Add Take** button. This will take you to the take table for this approved application. You need to fill in the “actual take” and “actual indirect mortality” fields.

> **Note**: Be sure to fill in the take numbers for the appropriate take action and capture method for each species/listing unit/life stage combination.



In instances where the expected take was exceeded, please provide an explanation in the answers to the questions posed in the report summary section. You should have contacted the appropriate permitting agency within 2 days of the date your take numbers were exceeded. For species with intentional or direct mortality (e.g., fish sacrificed for tissue analysis), record the number of species sacrificed under “actual take.” The “actual indirect mortality” number will be zero.

You may add species to the table. When adding species, the “expected take” will be displayed as zero. Only the actual take and indirect mortality will be added. You should have contacted the appropriate permitting agency when the unexpected species was encountered. Please provide an explanation or description of the circumstances under which the unexpected species were collected in the report summary section.

You cannot edit or delete the existing, approved records in the report template. In other words, you cannot change the capture methods, take actions, or other aspects of a take record during the reporting process. While your permit is active, changes can be made through the Request Modification process described in [Chapter 3](#). To report changes not previously requested, you can add a new record as described in the above paragraph.

Upon completing the take table, click the “Next>” link. You will be taken back to the “Report Locations and Take” page. If you have more than one location for which you need to report take, select the radio button adjacent to the next location and proceed as above.

When you have finished entering your actual take for all of the locations, click the “Next>” link to proceed to the next section. If you would like to review or save a copy of your take table in spreadsheet format, click **Export to Excel**.

> **Note**: Any edits made within the Excel spreadsheet will not be saved in the report take table.

Report Comments and Analysis Section

This section includes several questions that provide you the opportunity to explain the success of the field season, any problems that occurred, effects of your research on the animals, steps taken to mitigate these effects, and any preliminary analyses. As throughout the application and report, an asterisk denotes a required field. On the final page of this section there is an opportunity to attach files to your report if you need more space or want to provide copies of publications resulting from your research. For your report to be accepted during the submittal process, you must enter a response to all of the required fields.

See Submitting a Report for the final steps.

Completing a Final Report

The final report consists of a series of questions about the results of the permitted research. There are also questions about the possibility of future research as well as an opportunity for you to provide feedback. Once you have clicked the “Start Report” link to begin your final report, the first Final Report Questions and Analysis page will appear with the first three questions of the report. After entering answers on each page, then click on the “Next>” link to proceed.

Please answer all of the questions, however; if a question does not apply you can write “N/A”. Do not leave any of the text boxes blank or you will not be able to submit your report.

There is no take table associated with the Final Report since you should have already reported your actual take numbers in your annual reports.

See Submitting a Report below for the final steps.

Submitting a Report

When you have completed all required sections of the report, click either the “Next>” link or the “Submit” link near the top of the report. Either link will take you to the

"Submit Report" page. Here you have the opportunity to review your report for completeness and accuracy by using the "Click here to preview information" link. You can also print your report or export it as a PDF file.

If you decide to preview your report prior to submission, your report will be displayed in the report preview mode. You can expand individual sections of the report by clicking the "+" next to the title of the section. If you find items that need to be edited, click "edit section" on the right side of the page. When done, you can get back to the "Submit Report" page using the "Next>" link or the "Submit" link.

Use the **Click Here to Submit Report** button to complete the submission process. The application will run a series of error checks on your report and indicate with an error message window or yellow highlighted error message if sections need to be edited or are incomplete.

When your report is successfully submitted, a "Report Submitted" page will be displayed that contains a link to the final report. An email notice of report submission will be sent to the Principal Investigator and Primary Contact. The email will also contain a link to the report.

Section C: Reporting for NMFS Marine Mammal and Endangered Species Research and Enhancement Permits

Annual reports are due within 90 days of the end of the field season and Final Reports are due within 180 days of the expiration date of the permit or authorization. Specific report due dates can be found in your permit and on the Overview page in APPS.

To begin a report, log on to your portfolio and click on the link for the active or expired permit for which a report is required. The "Project Overview" screen will appear with status summaries for the application, permit or authorization, modification requests (if applicable) and reports. Scroll down to the "Report Required" section and click the "Start Report" link to begin a new:

- Incident Report
- Annual Report
- Final Report

Completing an Incident Report

You must submit an incident report if your action results in mortality, injury, or unauthorized take. The incident report is a place for you to record details about the incident. Submitting an incident report **does not** replace the permit requirement that you must contact the permit office soon after the incident occurs.

Click the "Create an incident report" button to begin your report and fill out the following fields:

1) ***Type of Incident (check all that apply).***

You must check the type(s) of incident you are reporting. You have the following list of options:

- Authorized take exceeded
- Mortality or serious injury
- Unauthorized species or age class taken
- Other

2) ***Date(s) of Incident***

Enter the Date(s) of the Incident in the date fields.

3) ***Describe the incident. (64,000 characters max).***

Include details such as:

- what happened
- where it happened
- chronology of events
- relevant observations prior to, during and after the event
- final disposition of injured or dead animals
- a discussion of what steps, if any, were or will be taken to prevent the event from reoccurring.

4) ***Attach a File (Optional)***

If you have additional information (e.g. necropsy reports), please attach them here.

As always, save frequently while completing your report. A "Save" link is located on the top of the page. You can save a draft of your report and return to it at a later time through the "Report Required" section of the "Project Overview" screen.

See Submitting a Report for the final steps.

Completing an Annual Report

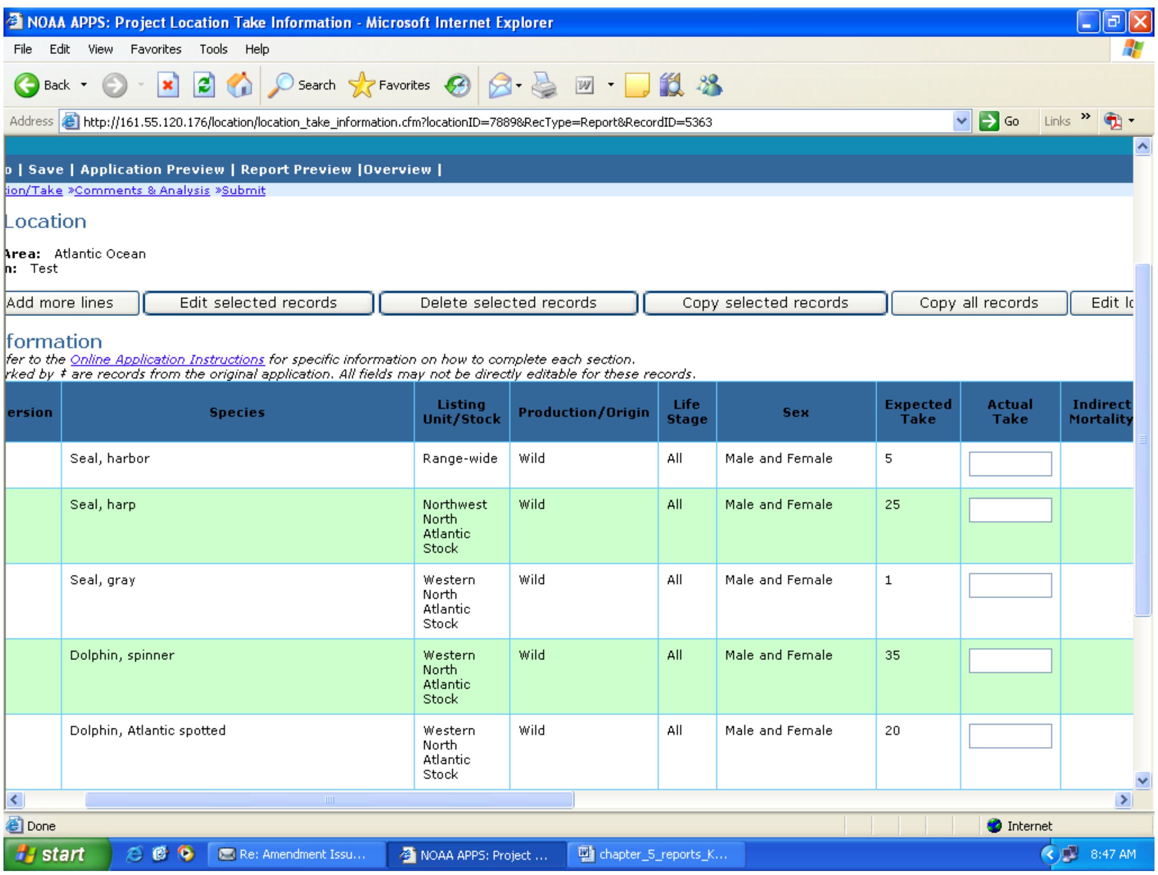
Once you have clicked "Start Report" for the appropriate year, a page will appear that describes some basics about the reporting process. A report template is produced based on information provided in your approved application. You need to complete the take table(s) by reporting your actual take numbers for each research activity listed (e.g., capture/handle/release, marking, tagging, etc.). You must also answer a series of questions about the work, the results, and subsequent analyses. After reviewing the information on the start page, click on the "Next>" link to proceed.

Report Locations and Take Information Section

The first screen you will see is the "Report Locations and Take Information" page. This page contains a summary of the locations for which take was approved. To add take information for a location, select the radio button next to the location for which you wish to add the number of organisms handled or observed. Then click the **Edit/Add Take** button. This will open the take table for this location. The only column you can edit is the "actual take" field.

> **Note**: Be sure to fill in the take numbers for the appropriate take action and capture method for each species/listing unit/life stage combination.

You cannot edit or delete the existing, approved records in the report template. In other words, you cannot change the capture methods, take actions, or other aspects of a take record during the reporting process. While your permit is active, changes can be made through the Request Modification process described in **Chapter 4's Section A and Section B**, as appropriate.



<u>If you exceeded your authorized take levels:</u>

Enter the appropriate number into the “actual take” column, even though it is greater than the “expected take” number.

Note: per conditions in your permit, you should have:

- contacted the Chief, NMFS Permits, Conservation and Education Division by phone (301-713-2289) no later than two business days after your take level was exceeded and
- submitted a written incident report as described in your permit.

If you have not already provided this information, you will need to explain why you exceeded your authorized take in the report summary section and describe how you will prevent this in the future.

<u>If you took species not authorized by your permit:</u>
Add rows at the bottom of your take table to include species not authorized. Fill out applicable columns. The “expected take” will be zero. The actual take number will be the number of animals taken.

Note: per conditions in your permit, you should have:

- contacted the Chief, NMFS Permits, Conservation and Education Division by phone (301-713-2289) when the unexpected species was encountered
- submitted a written incident report as described in your permit.

If you have not already provided this information, you will need to provide an explanation or description of the circumstances under which the unexpected species were taken in the report summary section and describe how you will prevent this in the future.

Upon completing the take table, click the “Next>” link. You will be taken back to the “Report Locations and Take” page. If you have more than one location for which you need to report take, select the radio button adjacent to the next location and proceed as above.

If you would like to review or save a copy of your take table in spreadsheet format, click **Export to Excel** .

> **Note**: Any edits made within the Excel spreadsheet will not be saved in the report take table.

When you have finished entering your actual take for all of the locations, click the “Next>” link to proceed to the next section.

Report Comments and Analysis Section

This section includes several questions that provide you the opportunity to explain the success of the field season, any problems that occurred, the effects of your research on the animals, steps taken to mitigate these effects, and any preliminary analyses. An asterisk denotes a required field. For your report to be accepted during the submittal process, you must enter a response to all of the required fields.

Attach a file: on the final page of this section there is an opportunity to attach files to your report if you need more space or want to provide copies of publications resulting from your research.

As always, save frequently while completing your report. A **Save** button is located on each take page and a "Save" link is located on the top of most pages. You can save a draft of your report and return to it at a later time through the "Report Required" section of the "Project Overview" screen. Click on the link to the report (e.g., Report 1) to open the report in the "Report Preview" mode then either click the "Start Page" link near the top right of the page to progress through the report, or click on the "Edit" link adjacent to the section in which you'd like to begin.

See Submitting a Report for the final steps.

Completing a Final Report

The final report consists of a series of questions about the results of the permitted research. There are also questions about the possibility of future research as well as an opportunity for you to provide feedback. Once you have clicked the "Start Report" link to begin your final report, the first Final Report Questions and Analysis page will appear with the first three questions of the report. After entering answers on each page, then click on the "Next>" link to proceed.

Please answer all of the questions, however; if a question does not apply you can write "N/A". Do not leave any of the text boxes blank or you will not be able to submit your report.

There is no take table associated with the Final Report since you should have already reported your actual take numbers in your annual reports.

See Submitting a Report below for the final steps.

Submitting a Report

When you have completed all required sections of the report, click either the "Next>" link or the "Submit" link near the top of the report. Either link will take you to the "Submit Report" page. Here you have the opportunity to review your report for completeness and accuracy by using the "Click here to preview information" link. You can also print your report or export it as a PDF file.

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When your report is successfully submitted, a "Report Submitted" page will be displayed that contains a link to the finalized report. An email notice of report submission will be sent to the Principal Investigator, Primary Contact, and your permit analysts. The email will also contain a link to the report.